

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Yoshio OZAWA et al. )  
Application No.: Not Yet Assigned ) Group Art Unit:  
Filed: March 31, 2004 ) Examiner:  
For: SEMICONDUCTOR DEVICE )  
AND METHOD OF )  
MANUFACTURING THE SAME )

**MAIL STOP PATENT APPLICATION**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO-1449. Copies of the listed foreign documents and the listed other document are attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO-1449 and indicate that they were considered by making an appropriate notation on this form.

This Information Disclosure Statement is being filed with the above-referenced application.

The following are listed on the accompanying PTO-1449 and are in a non-English language:

1. Japanese Patent Laid Open (KOKAI) No. PH11-111872 discloses an EEPROM memory cell which includes a poly-silicon electrode with a side-wall having a shape. (Fig. 6 and lines 32-39 of right portion of page 7)

2. Japanese Patent Laid Open (KOKAI) No. 2000-124430 discloses a flash memory cell which includes a tunnel oxide film with a thickness thicker at the isolation edge portions.

3. Japanese Patent Laid Open (KOKAI) No. 2002-134634 discloses a flash memory cell which includes a tunnel oxide film with a thickness thicker at the isolation edge portions. The relevance of this document is also discussed at page 1 of the specification of the present application.

4. Japanese Patent Laid Open (KOKAI) No. PH8-130258 discloses a non-volatile memory cell which includes a tunnel oxide film with a thickness thicker at the isolation edge portions.

5. Japanese Patent Laid Open (Kokai) No. PH10-22403 discloses a non-volatile memory cell which includes a substrate surface channel region having a convex shape.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the

appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: March 31, 2004

By: 

Richard V. Burgujian  
Reg. No. 31,744

Enclosures  
RVB/FPD/gah

## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	04329.3298	Application No.	
Applicant	Yoshio OZAWA et al.		
Filing Date	March 31, 2004	Group:	

U.S. PATENT DOCUMENTS							
Examiner Initial*		Document Number	Issue Date	Name	Class	Sub Class	Filing Date if Appropriate
		6,294,481	09/25/2001	INUMIYA et al			
		6,383,856	05/07/2002	INUMIYA et al			

FOREIGN PATENT DOCUMENTS							
		Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No
		11-111872	04/23/1999	Japan			No
		2000-124430	04/28/2000	Japan			No
		2002-134634	05/10/2002	Japan			No
		8-130258	05/21/1996	Japan			No
		10-22403	01/23/1998	Japan			No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	

Examiner	Date Considered
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	
Form PTO 1449	Patent and Trademark Office - U.S. Department of Commerce